# Analysis of Response Profiles of Clinical Trial Data

Kao-Tai Tsai, Ph.D. Jiann-Ping Hsu College of Public Health, GSU, GA Celgene Corporation, Summit NJ

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# **Outline of Presentation**



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## 6 Summary

## Research Rationale and Objectives

- Majority of the data analysis focus only on the last response of a subject and paying little attention to the responses before that.
- Analysis of the response profile longitudinally helps to understand how the treatment works during the course of treatment.
- In clinical research with dynamic treatment allocation designs, subject' responses are tracked at every cycle so that the proper next treatment can be selected.
- This research examines the entire response profile of each patient and tries to link the responses with clinical factors and patient's background.
- Data from a recent clinical trial is used to illustrate the analytical procedures.

## Example of Patient Response Profiles

Example of response profiles of 10 subjects:

	pt	trt	rv3	rv5	rv7	rv8	rv9	rv10	rv11	rv12	rv13	rv14	rv15	rv16	rv17	rv18	rv19	rv20	rv21	rv22
1	1014021	Α	SD	SD	SD	SD	SD	PR												
2	1014838	A	SD	SD	SD	SD	PR	PR												
4	1025268	В	SD																	
5	1034019	Α	NE	NE	SD	PR	PR	PR	PR	PR	PR	PR	PR	PR	PR		PR	PR	PD	PD
6	1034426	В	SD																	
7	1034430	Α	SD	SD	PD															
8	1034812	A	PD																	
9	1034815	В	SD	SD	SD	SD	PD	PD												
10	1034822	Α	SD	SD	SD	PR	PR	PR	CP	CP	NE	PD								
11	1034831	A	SD	SD	PR	PR	PR	PR	PR	PR	PR	PD								

## Graphical View of 20 Response Profiles



# Response Profiles of all subjects (too ambitious!)



## Longitudinal View of Cumulative Response Profiles



CP CR NE PD

PR SD

## Cumulative Response Profiles by Group



State Distribution: Treatment A



#### State Distribution: Treatment B

## Frequencies of Patient Response Profiles

[>] 656 sequences with 5 distinct events/states

- [>] including missing value as additional state
- [>] 243 distinct sequences
- [>] min/max sequence length: 1/21

First 20 profile patterns and frequencies:

	Freq	Percent
PD/1-/20	37	5.70
SD/1-/20	37	5.70
SD/4-PD/1-/16	30	4.62
SD/2-/19	25	3.85
SD/1-PD/1-/19	24	3.70
SD/2-PD/1-/18	22	3.39
SD/3-PD/1-/17	14	2.16
SD/2-PR/2-PD/1-/16	13	2.00
NE/1-/20	10	1.54
SD/3-/18	10	1.54
SD/5-PD/1-/15	9	1.39
NE/1-SD/1-PD/1-/18	8	1.23
SD/2-PR/1-PD/1-/17	8	1.23
NE/2-/19	6	0.92
SD/2-PR/19	5	0.77
SD/3-PR/1-PD/1-/16	5	0.77
SD/3-PR/2-PD/1-/15	5	0.77
SD/6-PD/1-/14	5	0.77
NE/1-PD/1-/19	4	0.62
SD/1-NE/1-/19	4	0.62

## Mean Time Duration of Response States





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- An important information about response profiles is the transition rate between each pair of states  $(s_i, s_j)$ , i.e., at a given time, the probability to switch from state  $s_i$  to state  $s_j$ .
- Let  $n_t(s_i)$  be the number of sequences that do not end at time t and with state  $s_i$  at time t.
- Let  $n_{t,t+1}(s_i, s_j)$  be the number of sequences with state  $s_i$  at time t and state  $s_j$  at time t + 1.
- The 1-step transition rate  $p(s_j|s_i)$  between states  $s_i$  and  $s_j$  is defined as

$$p(s_j|s_i) = \frac{\sum_{t=1}^{L-1} n_{t,t+1}(s_i, s_j)}{\sum_{t=1}^{L-1} n_t(s_i)}$$

with L the maximal observed sequence length.

- The rates are assumed to be time position-independent.
- The outcome is a stochastic Markov process matrix where each row i gives a transition distribution from the originating state s<sub>i</sub> in t to the state s<sub>i</sub> in t + 1.
- Transition rates provide information about the state changes observed in the data together with, on the diagonal, an assessment of the stability of each state.
- Similar transition matrix can be constructed for *k*-step state transition.

649 sequences in the data set (min/max sequence length: 1/21) computing transition rates for states CP/CR/NE/PD/PR/SD ...

	[-> CP]	[-> CR]	[-> NE]	[-> PD]	[-> PR]	[-> SD]
[CP ->]	0.82	0.05	0.10	0.03	0.00	0.00
[CR ->]	0.00	0.84	0.12	0.03	0.00	0.00
[NE ->]	0.04	0.05	0.51	0.05	0.18	0.18
[PD ->]	0.00	0.00	0.00	1.00	0.00	0.00
[PR ->]	0.02	0.02	0.12	0.08	0.77	0.00
[SD ->]	0.01	0.00	0.11	0.11	0.15	0.63

(Both Groups Combined)

computing complexity index for 332 sequences ... computing transition rates for states CP/CR/NE/PD/PR/SD ...

	[-> CP]	[-> CR]	[-> NE]	[-> PD]	[-> PR]	[-> SD]
[CP ->]	0.82	0.04	0.10	0.03	0.00	0.00
[CR ->]	0.00	0.86	0.11	0.03	0.00	0.00
[NE ->]	0.05	0.07	0.52	0.03	0.19	0.13
[PD ->]	0.00	0.00	0.00	1.00	0.00	0.00
[PR ->]	0.02	0.02	0.11	0.06	0.78	0.00
[SD ->]	0.01	0.00	0.10	0.05	0.22	0.61

(Treatment A)

computing complexity index for 317 sequences ... computing transition rates for states CP/CR/NE/PD/PR/SD ...

	[-> CP]	[-> CR]	[-> NE]	[-> PD]	[-> PR]	[-> SD]
[CP ->]	0.76	0.07	0.10	0.07	0.00	0.00
[CR ->]	0.00	0.76	0.18	0.06	0.00	0.00
[NE ->]	0.01	0.02	0.47	0.08	0.16	0.25
[PD ->]	0.00	0.00	0.00	1.00	0.00	0.00
[PR ->]	0.00	0.01	0.16	0.12	0.71	0.00
[SD ->]	0.01	0.00	0.11	0.16	0.07	0.64

(Treatment B)

## Shannon's entropy (the entropy index) - 1

It is also of interest to know how active the states changed in time.

• Let  $p_i$  denote the proportion of cases in state i at the considered time position, the entropy is defined as

$$h(p_1, \cdots, p_a) = -\sum_{i=1}^{a} p_i \log(p_i)$$
 (1)

where a is the number of the states.

- The entropy is 0 when all cases are in the same state and is maximal when we have the same proportion of cases in each state.
- The entropy is a convenient measure of the diversity of states observed at a given time position.

# Shannon's entropy (the entropy index) by Group



## Shannon's longitudinal entropy - Group comparison



#### **Comparison of State Complexities**

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## Dissimilarities Between Response Profiles - 1

• Let A(x, y) be a count of common states between sequences x and y. Define a dissimilarity measure through the following general formula

$$d(x,y) = A(x,x) + A(y,y) - 2A(x,y)$$
(2)

where d(x, y) is the distance between sequences x and y.

• The dissimilarity is maximal when A(x, y) = 0. It is zero when the sequences are identical.

## Dissimilarities Between Response Profiles - 2

- The simple Hamming distance (Hamming 1950) is the number of time positions at which two sequences of equal length differ.
- It can be defined as

$$HD(x,y) = l - A_H(x,y),$$

where

- l = |x| = |y| is the common length of x and y,
- $A_H(x,y)$  is the number of matching time positions.
- The Hamming distance with equation (2) by using d(x,y)/2 as proximity measure.

## **Clustering Response Profiles**

#### Cluster Dendrogram



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## Visualizing Clusters via MDA Coordinates



Class 2 with n= 484



## Visualizing Clusters via MDA Coordinates





Class 4 with n= 28

## Response Profile Differences Among Clusters



#### Cluster 1:

```
Call: glm(clustdata1[, 2] ~ n_prt + mmdur + strlab2 + AlbuminL +
NeutrophilL + PlateletsH + RBCL + SerumIgAL + SerumIgAH +
SerumIgGL + SerumIgGH + TotalProteinH, family = quasibinomial, data = clustdata1)
```

Coefficients:

	Estimate	Std. Error	t value	Pr(> t )	
(Intercept)	0.54234	0.35424	1.531	0.126264	
n_prt	0.32146	0.09976	3.222	0.001335	**
mmdur	0.05649	0.03242	1.742	0.081933	
strlab2	-0.90648	0.22449	-4.038	6.04e-05	***
AlbuminL	-1.80328	0.54017	-3.338	0.000891	***
NeutrophilL	2.00171	0.39783	5.032	6.32e-07	***
PlateletsH	3.03917	1.31229	2.316	0.020876	*
RBCL	-0.95070	0.32570	-2.919	0.003635	**
SerumIgAL	-0.78516	0.28668	-2.739	0.006337	**
SerumIgAH	-0.88987	0.43682	-2.037	0.042045	*
SerumIgGL	-1.14937	0.34321	-3.349	0.000859	***
SerumIgGH	-1.68069	0.54402	-3.089	0.002092	**
TotalProteinH	-3.86644	1.24619	-3.103	0.002002	**
Signif. codes:	0 *** (	0.001 ** 0.0	0.01 * 0.05	5.0.1	1

(Dispersion parameter for quasibinomial family taken to be 0.7413571)

#### **Cluster 2:**

Call: glm(clustdata2[, 2] ~ trtgrp + prmel + AlbuminL + MonocvtesH + RBCL + SerumIgAL + SerumIgAH + SerumIgGH, family = quasibinomial, data = clustdata2) Coefficients: Estimate Std. Error t value Pr(>|t|) (Intercept) -1.5632 0.5387 -2.902 0.003837 \*\* trtgrp 0.7503 0.2818 2.662 0.007950 \*\* -0.8368 0.2506 -3.339 0.000888 \*\*\* prmel AlbuminL 1.5906 0.4943 3.218 0.001357 \*\* MonocytesH -1.2791 0.6236 -2.051 0.040649 \* BBCI. 1.0554 0.3597 2.934 0.003465 \*\* SerumIgAL 1.1015 0.3260 3.379 0.000772 \*\*\* SerumIgAH 1.9697 0.4869 4.046 5.85e-05 \*\*\* SerumIgGH 1.0588 0.3961 2.673 0.007707 \*\* \_\_\_ Signif. codes: 0 \*\*\* 0.001 \*\* 0.01 \* 0.05 . 0.1 1

(Dispersion parameter for quasibinomial family taken to be 1.350058)

#### Cluster 3 (not very meaningful)

Call: glm(clustdata3[, 2] ~ trtgrp + wgtlbs + HemoglobinL + NeutrophilL + TotalProteinL + TotalProteinH + WBCL + WBCH, family = quasibinomial, data = clustdata3)

Coefficients:

	Estimate	Std. Error	t value	Pr(> t )	
(Intercept)	-0.030766	1.212068	-0.025	0.97976	
trtgrp	-0.909929	0.465616	-1.954	0.05112	
wgtlbs	-0.010893	0.005695	-1.913	0.05623	
HemoglobinL	-1.278757	0.553320	-2.311	0.02116	*
NeutrophilL	-3.982999	1.401341	-2.842	0.00463	**
TotalProteinL	1.699110	0.862776	1.969	0.04936	*
TotalProteinH	1.568914	0.602142	2.606	0.00939	**
WBCL	2.928279	1.098168	2.667	0.00786	**
WBCH	2.972175	1.266401	2.347	0.01924	*
Signif. codes:	0 *** 0	.001 ** 0.01	* 0.05	. 0.1 1	L

(Dispersion parameter for quasibinomial family taken to be 0.8828353)

#### Cluster 4 (not very meaningful)

Call: glm(clustdata4[, 2] ~ beta + trtgrp + n\_pat + n\_prt + wgtlbs + sex + prvel + PlateletsH +
 prmel + prdox + strlab2 + lbles + AlbuminL + LymphocytesH + MCVL + MonocytesH + NeutrophilsL +
 SerumIgAL + SerumIgAH + SerumIgML, family = quasibinomial, data = clustdata4)

Coefficients:

	Estimate	Std. Error	t value	Pr(> t )	
(Intercept)	10.804782	2.067386	5.226	2.39e-07	***
beta	-0.451664	0.128160	-3.524	0.000457	***
trtgrp	-1.820682	0.498185	-3.655	0.000280	***
n_pat	-0.485390	0.227962	-2.129	0.033641	*
n_prt	-1.344828	0.328923	-4.089	4.93e-05	***
wgtlbs	-0.022980	0.006257	-3.673	0.000262	***
sex	-0.966395	0.357699	-2.702	0.007095	**
prvel	1.719151	0.573021	3.000	0.002811	**
prmel	1.175529	0.405804	2.897	0.003908	**
prdox	-1.181259	0.364440	-3.241	0.001256	**
strlab2	-0.753699	0.435724	-1.730	0.084190	
lbles	-0.748678	0.405826	-1.845	0.065558	
AlbuminL	-4.520015	1.272080	-3.553	0.000411	***
LymphocytesH	-12.313233	3.135045	-3.928	9.58e-05	***
MCVL	4.487353	1.860209	2.412	0.016153	*
MonocytesH	1.728668	0.735898	2.349	0.019146	*
NeutrophilsL	10.695509	2.379572	4.495	8.37e-06	***
PlateletsH	-29.758485	9.062105	-3.284	0.001084	**
SerumIgAL	-2.128172	0.488473	-4.357	1.55e-05	***

SerumIgAH -7.858927 1.790045 -4.390 1.34e-05 \*\*\* SerumIgGH -1.858542 0.688102 -2.701 0.007110 \*\* SerumIgML -2.096981 0.472279 -4.440 1.07e-05 \*\*\* ---Signif. codes: 0 \*\*\* 0.001 \*\* 0.01 \* 0.05 . 0.1 1

(Dispersion parameter for quasibinomial family taken to be 0.3131812)

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#### Notations:

- Let  $Y_{it} \in \{1, 2, \dots, I > 2\}$  be the multinomial response for subject  $i(i = 1, \dots, N)$  at time  $t(t = 1, \dots, T_i)$ .
- Assume missing data are missing completely at random (MCAR) as defined in Rubin (1976).
- Define  $Y_{itj} = I(Y_{it} = j)$  for  $j = 1, \dots, I$ , where I(A) denotes the indicator function of the event A.
- Define  $Y_{it} = (Y_{it1}, ..., Y_{it(I-1)})'$  with the response category I omitted.

• Denote response vector by

$$Y_i = (Y'_{i1}, \cdots, Y'_{iT_i})'$$

and  $(T_{i(I-1)} \times p)$  covariate matrix for subject i by

$$x_i = (x'_{i1}, \cdots, x'_{iT_i})'.$$

Let

$$\pi_{itj} = E(Y_{itj}|x_i) = Pr(Y_{itj} = 1|x_i),$$
  
$$\pi_{it} = (\pi_{it1}, \cdots, \pi_{it(I-1)})',$$

and

$$\pi_i = E(Y_i | x_i) = (\pi'_{i1}, \cdots, \pi'_{iT_i})'.$$

• Denote the link function by g and, for subject i at time t, is defined as

$$g[E(Y_{it}|x_i)] = g(\mu_{it}) = x_{it}\beta,$$

where  $\beta$  is the p-variate regression vector of interest.

• The choice of the link function g (hence the marginal model) should reflect the response scale.

• For **ordinal multinomial responses**, the family of cumulative link models

$$F^{-1}[P(Y_{it} \le j | x_i)] = \beta_{0j} + \boldsymbol{\beta'_* x_{it}}$$

• or the adjacent categories logit model

$$\log(\pi_{itj}/\pi_{it(j+1)}) = \beta_{0j} + \boldsymbol{\beta'_{*}x_{it}},$$

where F is the CDF of a continuous distribution and  $\{\beta_{0j}, j = 1, 2, \cdots, J-1\}$  are the category specific intercepts.

• Note: the category specific intercepts need to satisfy a monotonicity condition

$$\beta_{01} \le \beta_{02} \le \dots \le \beta_{0(J-1)}$$

when the family of cumulative link models is employed.

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• For **nominal multinomial responses**, the baseline category logit model can be used

$$\log(\pi_{itj}/\pi_{itJ}) = \beta_{0j} + \beta'_j x_{it},$$

where  $\beta_j$  is the *j*th category specific parameter vector.

• Note: the regression parameter coefficients of the covariates  $x_{it}$  are category specific in the marginal baseline category logit model.

#### Estimation of the marginal regression parameter vector

- Let  $\beta$  be the p-variate parameter vector that includes all the regression parameters.
- Let the general estimating equation be

$$U(\beta, \hat{\alpha}) = (1/N) \sum_{i=1}^{N} D_i V_i^{-1} (Y_i - \pi_i) = 0, \qquad (3)$$

where

• 
$$D_i = \partial \pi_i / \partial \beta$$

- $V_i(\beta, \hat{\alpha})$  is a  $T(J-1) \times T(J-1)$  weight matrix.
- $\pmb{lpha}$  is the local odds ratio matrix define below.

#### Local Odds Ratio

- Consider the time-pairs  $\{(1,2),(1,3),\cdots,(T-1,T)\}$ .
- For each time-pair (t, t'), form an  $J \times J$  contingency table such that the row totals correspond to the observed totals at time t and the column totals to the observed totals at time t'.
- Let  $\theta_{tjt'j'}$  be the expected local odds ratio at cutpoint (j, j'), and  $f_{tjt'j'}$  be the observed frequencies.
- Becker and Clogg (JASA,1989) showed that

 $\log(f_{tjt'j'}) = (\text{row, column, interaction effects}) + \phi^{(t,t')} \mu_j^{(t,t')} \mu_{j'}^{(t,t')},$  and

$$\log(\theta_{tjt'j'}) = \phi^{(t,t')}(\mu_j^{(t,t')} - \mu_{j+1}^{(t,t')})(\mu_{j'}^{(t,t')} - \mu_{j'+1}^{(t,t')}).$$

• Touloumis, Agresti, Kateri (Biometrics, 2013) defined the parameter vector that contains the marginalized local odds ratios structure as

$$\boldsymbol{\alpha} = \begin{pmatrix} \theta_{1121}, \cdots, \theta_{1(J-1)2(J-1)}, \\ \cdots, \\ \theta_{(T-1)1T1}, \cdots, \theta_{(T-1)(J-1)T(J-1)} \end{pmatrix}'$$

which can be estimated by MLE.

• Note: for practical purpose, the score functions  $\mu_j^{(t,t')}$  are simplified and let  $\mu_j^{(t,t')} = j$ , and the general association parameter  $\phi^{(t,t')} = \phi$ .

• Conditional on  $\hat{\pmb{\alpha}}$  and the marginal model specification at times t and t' the probability

$$\{P(Y_{it} = j, Y_{it'} = j' | x_i) : t < t', j, j' = 1, \cdots, J - 1\}$$

and  $V_i$  can be calculated, hence  $\beta$  can be estimated via the GEE (3).

#### Model Fitting for Cluster 1:

GEE FOR ORDINAL MULTINOMIAL RESPONSES (Link: Cumulative logit)

Coefficients:

	Estimate	<pre>san.se</pre>	san.z	Pr(> san.z )	
beta01	-0.02995	0.74876	-0.0400	0.96809	
beta02	1.93939	0.73483	2.6392	0.00831	**
<pre>factor(trtgrp)2</pre>	0.03449	0.17693	0.1949	0.84544	
age	-0.02518	0.01095	-2.3004	0.02143	*
beta	-0.02312	0.03718	-0.6218	0.53411	
n_psct	-0.23305	0.12761	-1.8262	0.06781	
Signif. codes:	0 *** 0.0	01 ** 0.0	01 * 0.05	5.0.1 1	

#### Model Fitting for Cluster 1:

GEE FOR ORDINAL MULTINOMIAL RESPONSES (Link: Cumulative logit)

Coefficients:

	Estimate	<pre>san.se</pre>	san.z	Pr(> san.z )	
beta01	-0.02491	0.82330	-0.0302	0.97587	
beta02	1.86298	0.79867	2.3326	0.01967	*
<pre>factor(trtgrp)2</pre>	0.08449	0.21544	0.3922	0.69492	
age	-0.02923	0.01193	-2.4507	0.01426	*
beta	-0.03528	0.04723	-0.7468	0.45516	
n_psct	-0.19395	0.15734	-1.2327	0.21771	
Signif. codes:	0 *** 0.0	01 ** 0.0	0.05 * 0.05	5.0.1 1	





Local Odds Ratios Estimates (uniform): v5 vЗ v7 v8 v9 v10 0.000000 1.536842 1.536842 1.536842 1.536842 1.536842 v3 1.536842 0.000000 1.536842 1.536842 1.536842 1.536842 v5 1.536842 1.536842 0.000000 1.536842 1.536842 1.536842 v7 1.536842 1.536842 1.536842 0.000000 1.536842 1.536842 v8 1.536842 1.536842 1.536842 1.536842 0.000000 1.536842 v9 v10 1.536842 1.536842 1.536842 1.536842 1.536842 0.000000

Local Odds Ratios Estimates (category-exch):

v3 v5 v7 v8 v9 v10 v3 0.0000000 3.524637 4.533996 1.437081 1.250256 0.8870811 v5 3.5246371 0.000000 2.512431 3.422035 1.982073 1.4240733 v7 4.5339961 2.512431 0.000000 1.383113 1.347196 1.0620751 1.4370814 3.422035 1.383113 0.000000 1.590531 1.3749597 v8 v9 1.2502561 1.982073 1.347196 1.590531 0.000000 1.6036001 v10 0.8870811 1.424073 1.062075 1.374960 1.603600 0.0000000

#### Model Fitting for Cluster 2:

GEE FOR ORDINAL MULTINOMIAL RESPONSES (Link: Cumulative logit)

Coefficients:

	Estimate	san.se	san.z	Pr(> san.z )	
beta01	-1.13280	0.44856	-2.5254	0.01156	*
beta02	-0.37412	0.43864	-0.8529	0.39370	
beta03	2.34313	0.44767	5.2341	< 2e-16	***
beta04	3.84869	0.48232	7.9796	< 2e-16	***
beta05	5.27519	0.56302	9.3694	< 2e-16	***
<pre>factor(trtgrp)2</pre>	0.71292	0.10934	6.5200	< 2e-16	***
age	-0.01476	0.00616	-2.3982	0.01648	*
beta	0.00900	0.01677	0.5365	0.59163	
n_psct	-0.07882	0.09061	-0.8699	0.38436	





Local Odds Ratios Estimates (category-exch): v5 v7 vЗ v8 v9 v10 v3 0.000000 1.267894 1.425216 1.090078 1.062992 1.110347 1.267894 0.000000 1.369849 1.288635 1.126296 1.140510 v5 1.425216 1.369849 0.000000 1.289670 1.400998 1.400214 v7 v8 1.090078 1.288635 1.289670 0.000000 1.162275 1.206059 1.062992 1.126296 1.400998 1.162275 0.000000 1.336574 v9 v10 1.110347 1.140510 1.400214 1.206059 1.336574 0.000000

## Summary

- Examining the entire response profiles can provide much more insight about the efficacy and safety of treatments.
- Most of the studies in pharmaceutical companies do not yet commonly implement this level of data analysis.
- In dynamic treatment allocation study designs and other more adaptive studies, subjects' responses are tracked at every cycle or visit so that the appropriate next treatment can be assigned.
- For better drug development success and more beneficial individualized medicine, examining the whole profile of responses has become an important methodology of advanced research for a more in-depth understanding of medical treatment effect.

## **Thank You for Your Attention!**



# Treatment Effect on Response Profiles (Cluster 1)





# Treatment Effect on Response Profiles (Cluster 2)



#### **Response Profile for Placebo, Cluster 2**



Summar

# Prediction Error of Multinomial GEE Model (Cluster 1)



Figure 1: LOR = uniform



Prediction Error of Multinomial GEE Model

Figure 2: LOR = cat-exch



# Prediction Error of Multinomial GEE Model (Cluster 2)



#### Prediction Error of Multinomial GEE Model

